

Schedule 170-1

UNIVERSITY OF NEBRASKA BOARD OF REGENTS

EMPLOYMENT RECORDS

December 11, 2006

**Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559**

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE

170-1

AGENCY, BOARD OR COMMISSION

Board of Regents of the University of Nebraska

RECORDS SERIES

Employment Records**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA****PART I – UNIVERSITY OF NEBRASKA STATEMENT**

In accordance with Section 84-1212.01, (Reissue 1999), approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01(2), R.R.S. 1943. The attached Records Retention and Disposition Schedule has been approved by the records officers of the University of Nebraska.

University of Nebraska Records Officer (Print Name)

Signature

 Joshua W. Mank

DATE

4 December 2006

University of Nebraska General Counsel's Office (Print Name)

Signature

 John C. Wiltse

DATE

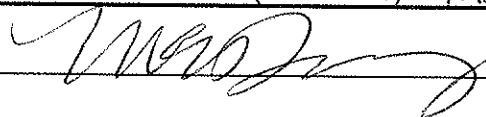
30 November 2006

PART II - ARCHIVAL APPROVAL

The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the University of Nebraska Archives has been recommended for such material, and this schedule is approved as submitted.

University of Nebraska Archives (Print Name) Mary Ellen Dancy

Signature



DATE

11 Dec. 2006

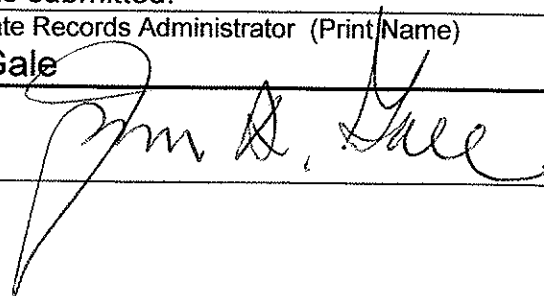
PART III -- APPROVAL BY STATE RECORDS ADMINISTRATOR

The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

Nebraska State Records Administrator (Print Name)

John A. Gale

Signature



DATE

Dec 11, 2006

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. State Agencies General Records Schedule No. 124 contains those records common to most state government agencies. This schedule takes precedence over General Records Schedule No. 124.

This schedule provides ongoing authority to dispose of paper records that do not have a permanent retention period after electronic copies have been made in accordance with Neb. Rev. Stat. § 25-12,112 (Reissue 1995) and to dispose of paper or electronic records once the record's retention period has expired unless it is subject to a legal hold. The University of Nebraska assumes the responsibility to migrate these electronic records to a new system, software, and/or storage medium when the current system, software, and/or storage medium become obsolete, to ensure that this information remains accessible for the entire required retention period.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is.
2. Dispose of records that have met their retention periods unless they are subject to a legal hold.
3. Complete a **Records Disposition Report** for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, copy it, complete the form, copy it for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. The completed report establishes that the destruction or other disposition of records was done in the normal course of office activities.

**Nebraska Secretary of State
Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
Cathy.Danahy@sos.ne.gov
402-471-2745**

QUESTIONS

If you have any questions about these procedures, please contact your University human resources office.

University of Nebraska Employment Records Retention and Disposition Schedule

Legend: C = Current; S = Separation

Count of Documents	Doc. #	Grouping	Category	Sub-Category	Document	RETENTION
1	1	Recruitment	Application Records	Individuals	Background Check Information - Mandatory (may or may not include Child & adult Registry Checks)	6 years
2	1.1	Recruitment	Application Records	Individuals	Background Check Information - Optional (may or may not include Child & adult Registry Checks)	6 years
3	1.2	Recruitment	Application Records	Individuals	Background Check Information - Credit Reports	6 years
4	2	Recruitment	Application Records	Individuals	Employment Application (where applicable)	4 years
5	2.1	Recruitment	Application Records	Individuals	Employment Application Information - Not Hired	4 years
6	3	Recruitment	Application Records	Individuals	Non-Selection Notification	4 years
7	4	Recruitment	Application Records	Individuals	References / Reference Letters	4 years
8	5	Recruitment	Application Records	Individuals	Resume / Vita / Cover Letters	4 years
9	6	Recruitment	Recruitment Material	Process	Advertisements	4 years
10	7	Recruitment	Application Records	Individuals	Application Summary Log	4 years
11	8	Recruitment	Application Records	Individuals	Faculty Recruiting Files	4 years
12	8.1	Recruitment	Application Records	Individuals	Search Committee Notes (interview questions, screening criteria, etc.)	4 years
13	8.2	Recruitment	Application Records	Individuals	Affirmative Action Reports / Records	4 years
14	9	Recruitment	Recruitment Material	Process	Certification Statement-Equity, Access & Diversity (UNMC-Certification EEOC, AA including harassment)	4 years
15	10	Recruitment	Application Records	Individuals	Memos of Record (files for past employees, applications/resumes of unsuccessful candidates)	4 years
16	11	Recruitment	Recruitment Material	Process	Job Description for Recruitment	4 years
17	12	Recruitment	Recruitment Material	Process	Reclassification Requests	4 years
18	12.1	Recruitment	Recruitment Material	Process	Salary Analysis - Internal/External Competitive	4 years
19	13	Recruitment	Recruitment Material	Process	Work Study Authorization	4 years
20	14	Recruitment	Pre-employment	Individuals	Letter of Offer / Contracts	4 years
21	15	Recruitment	Pre-employment	Individuals	Pre-employment physical	4 years
22	16	Recruitment	Pre-employment	Individuals	Physician's certification - ADA UNMC-Physician 's certification-ADA- Current Employees (WC or FMLA or Medical)	4 years
23	17	Recruitment	Recruitment Material	Process	Personnel Requisition/Justification Forms	4 years
24	18	Active	Application Records	Employee	Employment Application Information - Hired	S + 7 years

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25	19	Active	Application Records	Employee	Resume / Vita / Cover Letters	S + 7 years
26	20	Active	Application Records	Employee	Certification Statement-Equity, Access & Diversity	S + 7 years
27	21	Active	Application Records	Employee	Memos of Record (files for past employees, applications/resumes of unsuccessful candidates)	S + 7 years
28*	22	Active	Benefits	Employee	Benefits Enrollment Form (inc. NUFLEX & Health Information for life insurance app)	S + 7 years
29*	23	Active	Benefits	Hours/ Time	Crisis leave donation / request / reports	C + 7 years
30	24	Active	Benefits	Physician info	FMLA documentation (with or without Physician's certification included)	C + 7 years
31*	25	Active	Benefits	Employee	Phased Retirement Contracts (Benefits)	S + 7 years
32*	26	Active	Benefits	Employee	Reimbursement Account - enrollment and claims	C + 7 years
33	27	Active	Benefits	Employee	Retirement and Pension Records	S + 7 years
34	28	Active	Benefits	Hours/ Time	Vacation / Sick Leave Requests Paper	C + 7 years
35	29	Active	Employment - Ongoing	Employee	Appointment letters and ongoing employment	S + 7 years
36	30	Active	Employment - Ongoing	Employee Evaluation	Corrective Action Form	S + 7 years
37*	31	Active	Employment - Ongoing	Employee	Employee Expense Reports	C + 7 years
38	32	Active	Employment - Ongoing	Employee	Job Description (since last change)	C + 7 years
39	32.1	Active	Employment - Ongoing	Employee	Reclassification Requests	C + 7 years
40	32.2	Active	Employment - Ongoing	Employee	Salary Analysis - Internal/External Competitive	C + 7 years
41	33	Active	Employment - Ongoing	Employee	Memos For the Record - MFR: (appointment, budgets, letter of commendation, corrective action, termination, service awards docs, emails, memos, notes on promotion, tenure, notes/ emails to self regarding an employee)	S + 7 years
42	34	Active	Employment - Ongoing	Employee	N-card, Photo ID, NU ID Number	S + 7 years
43*	35	Active	Employment - Ongoing	Employee	PAF (Personnel Action Form) [Faculty appointment data] etc.	S + 7 years
44*	35.1	Active	Employment - Ongoing	Employee	Recurring Payments (temp overloads, etc.)	S + 7 years
45	36	Active	Employment - Ongoing	Employee	Personal Data Form -PDF: (address changes, credentialing, supervisory training, safety training, CDL driver's license, etc)	S + 7 years
46	37	Active	Employment - Ongoing	Employee Evaluation	Performance Appraisals	S + 7 years
47	37.1	Active	Employment - Ongoing	Employee Evaluation	Evaluations on Faculty	S + 7 years

University of Nebraska Employment Records Retention and Disposition Schedule

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48	37.2	Active	Employment - Ongoing	Employee Evaluation	CIEQ Form eARFA - faculty eval. Questionnaire and Accomplishments (Business Center)	S + 7 years
49	38	Active	Employment - Ongoing	Employee	Purchasing card - Ownership & Number	C + 7 years
50	39.1	Active	Employment - Ongoing	Employee	Electronic Annual Salary Notification - Including Faculty	C + 7 years
51	39.2	Active	Employment - Ongoing	Employee	Salary Notification Letters - Including Faculty	S + 7 years
52	40	Active	Employment - Ongoing	Grievance	Grievance Forms	C + 7 years
53	40.1	Active	Employment - Ongoing	Grievance	Grievance Hearing Documents & Notes - EEO	C + 7 years
54	40.2	Active	Employment - Ongoing	Grievance	Grievance Hearing Documents & Notes - Employment	C + 7 years
55*	41	Active	Employment - Ongoing	Employee	I-9	S + 7 years
56*	41.1	Active	Employment - Ongoing	Employee	Visa Forms & Work Permits	S + 7 years
57	42	Active	Employment - Ongoing	Employee	Physician's certification - ADA	S + 7 years
58	43	Active	Employment - Ongoing	Employee	SAP Confidentiality Statement / Security Agreements	C + 7 years
59*	44	Active	Employment - Ongoing	Physician info	CDL drug & alcohol test	S + 30 years
60*	45	Active	Payroll	Pay Related	Garnishments / Letters	C + 7 years
61	46	Active	Payroll Data	Pay Related	Remuneration Statement (access to pay advice)	S + 7 years
62*	47	Active	Payroll Data	Tax Reporting	1042-S tax form (nonresident aliens)	C + 7 years
63*	47.1	Active	Payroll	Tax Reporting	8233 Forms (claim tax treaty benefit)	S + 7 years
64*	47.2	Active	Payroll	Tax Reporting	Exempt From Withholding (nonresident alien)	S + 7 years
65*	47.3	Active	Payroll	Tax Reporting	Tax Treaty Affidavit	S + 7 years
66*	47.4	Active	Payroll Data	Tax Reporting	W-2	C + 7 years
67*	47.5	Active	Payroll Data	Tax Reporting	W-4	S + 7 years
68	47.6	Active	Payroll Data	Tax Reporting	W-9 for nonresident alien meeting SPT	S + 7 years
69*	48	Active	Payroll	Hours/ Time	Biweekly Time Sheets (inc. work study)	C + 7 years
70*	48.1	Active	Payroll	Hours/ Time	Off campus & other timesheets input by Payroll	C + 7 years
71	49	Active	Payroll Data	Pay Related	Direct Deposit- ACH: (initial enrollment or not to enroll, amount adjustment request, changes)	S + 7 years
72	50	Active	Employment - Ongoing	Employee	Overtime / Compensatory Agreement Form	S + 7 years
73	51	Active	Employment - Ongoing	Employee	Interruption in Tenure - Faculty Agreements	S + 7 years
74	52	Active	Employment - Ongoing	Employee	Outside Activity Forms	S + 7 years
75	53	Active	Worker's Compensation	Employee	First Report of Alleged Occupational Injury	S + 30 years

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76	53.1	Active	Worker's Compensation	Insurance Claims	Worker's Compensation - Insurance Claims / Forms	S + 30 years
77	52	Separation	Separation		Checkout Forms	S + 7 years
78	52.1	Separation	Separation		Exit Interviews	S + 7 years
79	53	Separation	Separation		RIF notification	S + 7 years
80*	54	Separation	Separation		Vacation Payout E-mail	S + 7 years
81*	55	Separation	Separation		Letter of Resignation	S + 7 years
82*	56	Separation	Separation		Letter of termination	S + 7 years
83	57	Report	Benefits		Federal Benefits ACH Reports (IANR)	C + 7 years
84	58	Report	Benefits		Federal notification & Medicare Eligibility Form (IANR)	S + 7 years
85	59	Report	Benefits		TIAA-CREF Separation Report	S + 7 years
86	60	Report	Benefits		Tuition Remission Data	C + 7 years
87*	61	Report	Benefits		Vacation / Sick Leave / Comp Time Reports	C + 7 years
88	62	Report	Benefits		Vacation / Sick Leave Requests Reports (Monthly exception reports)	C + 7 years
89	63	Report	Compliance Reporting		AAUP Faculty Rosters	C + 7 years
90	64	Report	Compliance Reporting		EEO-6 Report (IPEDS)	C + 7 years
91	65	Report	Compliance Reporting		VETS 100 Report	C + 7 years
92	66	Report	Application Records		Affirmative Action Reports / Records	C + 7 years
93*	67	Report	Payroll		Formulated Payment Logs	C + 7 years
94*	68	Report	Payroll		Foundation Payments Log	C + 7 years
95*	69	Report	Payroll		LOA Report / Negative /P00 report / Negative /5PY report	C + 7 years
96*	70	Report	Payroll		Manual Check Log / emergency check requests	C + 7 years
97*	71	Report	Payroll		Payroll closing docs (edits, time errors etc...audit trail)	C + 7 years
98*	72	Report	Payroll		Warrant voids (reverse / delete documentation)	C + 7 years
99	73	Report	Separation		Retirement Register of Separation & Transfer of Federal Employees (IANR)	C + 7 years
100	74	Report	Separation		Unemployment claim/notification/response/billing	C + 7 years
101	75	Misc	Labor Contract	Union	Labor Contracts / Negotiations	Permanently
102	76	Misc	Compliance Reporting	Employee	NEOC Files	C + 7 years
103	77	Misc	Compliance Reporting	Employee	Radiation Dosimetry records & exposure records	S + 30 years
104	78	Misc	Payroll	Employee	Employment verifications (for loans, etc.)	90 days after response provided
Records marked with * are records that may be disposed of after the required retention period, provided the audit has been completed with the audit report released and all related audit comments resolved.						

RECORDS DISPOSITION REPORT		AGENCY Board of Regents of the University of Nebraska
TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 TH STREET SUITE 210 LINCOLN, NE 68508-2294 BillPtacek@sos.ne.gov		UNIT, UNIVERSITY or INSTITUTE
		COLLEGE, DEPARTMENT OR OFFICE

REQUIRED INFORMATION:

In accordance with the Records Management Act, Neb. Rev. Stat. § 84-1212.02 (Reissue 1999) records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

DATE	SIGNATURE

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.
RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size	12 cubic feet
Records center carton	1 cubic foot
About a pickup load	50 cubic feet

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu Feet	7,500 lbs	748,638	14 Gb